



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

December 20, 2018

Ms. Emma Best
MuckRock News
DEPT MR 56712
411A Highland Ave
Somerville, MA 02144

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **19-00005-GOVT**

Dear Ms. Best:

This letter is in response to your July 2, 2018 FOIA request filed with the National Archives and Records Administration (NARA), for “[c]opies of all drafted, submitted or received SF-716 forms produced from January 1, 2001 through December 31, 2017.”

During its search, NARA located copies of each SF-716 Form that the SEC completed and submitted to NARA between the years 2001 and 2016. Your request and the 37 pages of record material that originated with the SEC were referred to this office by NARA on October 24, 2018, for a release determination and direct response to you. The SEC's Office of FOIA Services received this record referral for processing on November 30, 2018.

We have reviewed the 37 pages of records and have decided to release them to you, in part. SEC staff telephone numbers and email addresses are being withheld from the records pursuant to 5 U.S.C. § 552(b)(6), since their release would constitute a clearly unwarranted invasion of personal privacy. Further, public identification of Commission staff could conceivably subject them to harassment and annoyance in the conduct of their official duties and in their private lives.

I am the deciding official with regard to this adverse determination. You have the right to appeal my decision to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 C.F.R. § 200.80(f)(1). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal

must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address.

If you have any questions, please contact Sonja Osborne of my staff at osbornes@sec.gov or (202) 551-8371. You may also contact me at foiapa@sec.gov or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at foiapa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

Ray J. McInerney

Ray J. McInerney
FOIA Branch Chief

Enclosures

ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at ogis@nara.gov. Information concerning services offered by OGIS can be found at their website at [Archives.gov](https://www.archives.gov). Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.